

11-30-01  
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PTO/SB/05 (08/00)

Approved for use through 10/31/2002, OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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11/28/01  
JC769 U.S. PTO

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No	271602-1010
First Inventor	Perlich, et al.
Title	METHOD, APPARATUS AND COMPOSITION FOR CONTROLLING ORGANISMS IN BALLAST WATER
Express Mail Label No	EL492175182US

**APPLICATION ELEMENTS**

See MPEP Chapter 600 concerning utility patent application contents

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231 APPLICANT REQUESTS EARLY PUBLICATION UNDER 37 CFR 1.219 (additional fee)

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)

2.  Applicant claims small entity status

3.  Specification  
(preferred arrangement set forth below)

[Total Pages

40

]

- Descriptive title of the invention
- Cross References to Related Applications
- Statement Regarding Fed Sponsored R&D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4.  Drawing(s) (35 USC 113) [Total Sheets

13

]

5. Oath or Declaration [Total Pages

2

]

a.  Newly Executed (original or copy)

b.  Copy from a prior application (37 CFR §1.63(d))  
(for continuation/divisional with Box 17 completed)

 DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s)  
named in the prior application.  
see 37 CFR 1.63(d)(2) and 1.33(b)

6.  Application Data Sheet See 37 CFR 1.76

Assignee  
Name and Address  
(if applicable)

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76

 Continuation     Divisional     Continuation-in-part (CIP)

of prior application No: /

Group / Art Unit:

Prior application information: Examiner

For CONTINUATION OR DIVISIONAL APPS only the entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**

Customer Number or Bar Code Label

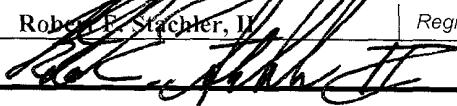
24504

(Insert Customer No. or Attach bar code label here)



Correspondence address below

NAME	Robert E. Stachler, II Thomas, Kayden, Horstemeyer & Risley, L.L.P.		
ADDRESS	100 Galleria Parkway Suite 1750		
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ZIP CODE	30339-5948		
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Name (Print/Type)	Robert E. Stachler, II	Registration No (Attorney/Agent)	36,934
Signature			Date
			11/28/01

1C99/996135 PTO

11/28/01

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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$ 601.00)

## Complete If Known

Application Number	To be assigned
Filing Date	November 28, 2001
First Named Inventor	Perlich et al.
Examiner Name	To be assigned
Group / Art Unit	To be assigned
Attorney Docket No.	271602-1010

## METHOD OF PAYMENT

## FEE CALCULATION (continued)

1.  The Commissioner is hereby authorized to charge to the following Deposit Account.

Deposit Account Number 20-0778

Deposit Account Name Thomas, Kayden, Horstemeyer Risley

 Charge all indicated fees and any additional fee required or credit any overpayment Charge any additional fee required and requested to credit any overpayment  Applicant claims small entity status See 37 CFR 1.272.  Payment Enclosed: Check  Money Order  Credit Card

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	\$355
106	320	206	160	Design filing fee	\$
107	490	207	245	Plant filing fee	\$
108	710	208	355	Reissue filing fee	\$
114	150	214	75	Provisional filing fee	\$
SUBTOTAL (1)					(\$355)

## 2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims	34	-20** = 14 x 9.00 = 126	
Independent Claims	6	-3** = 3 x 40.00 = 120	
Multiple Dependent		270.00 = 0	

\*\*or number previously paid, if greater. For Reissue, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent Claims in excess of 3
104	270	204	135	Multiple dependent claims in excess of 3
109	80	209	40	*Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)				(\$246)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

Complete (if applicable)

Submitted By Reg. Number 36,934Typed or Printed Name Robert E. Maehler, Jr. Date 11/28/01Signature Deposit Account User ID

**PATENTS**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Perlich et al.

For: METHOD, APPARATUS AND COMPOSITION FOR CONTROLLING ORGANISMS  
IN BALLAST WATER

**CERTIFICATE OF EXPRESS MAIL**

Assistant Commissioner for Patents  
U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Sir:

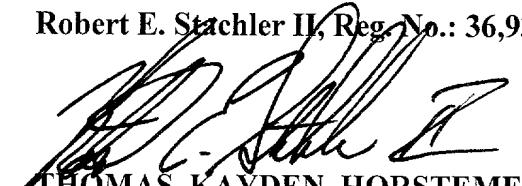
Enclosed for filing in the above case are the following documents:

Return Postcard  
Utility Patent Application Transmittal Page  
Fee Transmittal Page  
Utility Patent Application Consisting Of:  
31 Pages of Specification  
8 Pages of Claims  
1 Pages of Abstract  
13 Pages of Formal Drawings  
Check in the amount of \$601.00  
Declaration (Unexecuted)  
Information Disclosure Statement  
PTO Form 1449 (12 cited references)

Further, the Commissioner is authorized to charge Deposit Account No. 20-0778 for any additional fees required. The Commissioner is requested to credit any excess fee paid to Deposit Account No. 20-0778.

Respectfully submitted,

**Robert E. Stachler II, Reg. No.: 36,934**



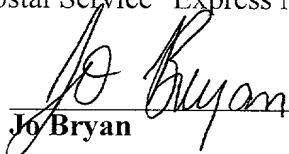
**THOMAS, KAYDEN, HORSTEMEYER  
& RISLEY, L.L.P.**  
100 Galleria Parkway, N.W.  
Suite 1750  
Atlanta, Georgia 30339-5948

Our Docket No: **271602-1010**

I hereby certify that all correspondences listed above are being deposited for delivery to the above addressee, with the United States Postal Service "**EXPRESS MAIL POST OFFICE TO ADDRESSEE**" service under 37 CFR §1.10 on the date indicated below:

The envelope has been given U.S. Postal Service "Express Mail Post Office To Addressee" Package # **EL492175182US**.

Date: **November 28, 2001**



**Jo Bryan**